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CRC Press / Taylor & Francis  
2017-01

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Lumbsch , T & Rikkinen , J 2017 , Evolution of lichens . in J Dighton & J F White (eds) , The Fungal Community: Its Organization and Role in the Ecosystem . 4. edn , Mycology series , no. 32 , CRC Press / Taylor & Francis , Boca Raton , pp. 53-62 .

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# Evolution of Lichens

H. Thorsten Lumbsch and Jouko Rikkinen

## 1 INTRODUCTION—THE DIVERSITY OF FUNGAL LIFESTYLES

Fungi represent one of the three major crown lineages of eukaryotes, besides plants and animals. For their nutrition, fungi either decompose organic material or form symbiotic associations with other organisms. These symbiotic relationships vary from parasitic lifestyle, such as the rice blight fungus (Partida-Martinez and Hertweck 2005), which causes damage to rice seedlings and uses endosymbiotic bacteria for toxin production, to mutualistic relationships, such as endomycorrhizal relationships, the origin of which coincides with the early evolution of land plants (Simon et al. 1993). There is a continuum among symbiotic associations, from mutualistic to parasitic lifestyles, and some fungal species are known to exhibit different kinds of relationships with different hosts, such as species in the genus *Colletotrichum*, which can form mutualistic relationships with some plants and have parasitic relationship with other hosts (Redman, Dunigan, and Rodriguez 2001). In addition, at an evolutionary scale, changes of nutritional modes (parasitism versus mutualism) and inter-kingdom host switches have been shown to be common in fungi (Spatafora et al. 2007; Arnold et al. 2009).

Given that all fungi are heterotrophic, it is not surprising that many of them have developed symbiotic relationships with photoautotrophic organisms, such as cyanobacteria, algae, and land plants. Fungal relationships with vascular plants are mostly in form of mycorrhiza, such as ectomycorrhizal (Agerer 1991; Wiemken and Boller 2002), endomycorrhizal (Bonfante-fasolo and Spanu 1992), and the unique orchid mycorrhizal associations, in which plant seedlings are, from the very beginning, dependent on symbiotic fungi as carbohydrate source (Rasmussen 2002; Dearnaley 2007; Rasmussen and Rasmussen 2009). In addition, symbiotic relationships of fungi with early diverging land plants (i.e., liverworts, hornworts, and mosses) are diverse and ecologically important (Felix 1988; Davey and Currah 2006; Stenroos et al. 2010). Fungal associates with cyanobacteria and algae are just as diverse as those with plants and include not only lichen-forming fungi (Hawksworth 1988; Nash 2008) but also algicolous fungi (Hawksworth 1987; Kohlmeyer and Volkmann-Kohlmeyer 2003; Jones 2011), which are either parasites on algae or cyanobacteria (Kohlmeyer and Demoulin 1981; Sonstebo and Rohrlack 2011; Gerphagnon et al.

2013) or form mutualistic relationships, the so-called mycophycobioses (Kohlmeyer and Kohlmeyer 1972; Hawksworth 1988; Selosse and Letacon 1995; Kohlmeyer and Volkmann-Kohlmeyer 2003; Suryanarayanan et al. 2010). Another case of relationships of a fungus in the phylum Glomeromycota, which mostly includes species forming endomycorrhizal relationships, is the cyanobacterial-fungal relationship between *Geosiphon pyriforme* and *Nostoc* (Gehrig, Schussler, and Kluge 1996; Schussler and Kluge 2001; Kluge et al. 2002; Schussler 2002), in which the cyanobacteria are located within the coenocytic cell of the fungal host. If the fungal-algal/cyanobacterial relationship is exosymbiotic (versus the endosymbiotic relationship of *Geosiphon* and *Nostoc*) and the fungal partner is the exhabitant (versus inhabitant in algicolous fungi), we call this type of association a lichen. Hence, lichens are not unique symbiotic associations but merely one type of a large diversity of relationships of fungi with photoautotrophic organisms.

The majority of fungi forming lichens belong to the phylum Ascomycota, whereas a smaller number of species is also known from derived groups within Basidiomycota (Nash 2008). While the number of lichenized basidiomycetes was often assumed to be small, recent molecular studies suggest that the number of species is actually much higher—albeit drastically lower than the number of lichenized Ascomycota (Lawrey et al. 2009; Dal-Forno et al. 2013; Lücking et al. 2014). Within Ascomycota, none of the early diverging clades, such as the subphyla Taphrinomycotina, Saccharomycotina, and the Pezizomycetes, have any lichenized species (Lumbsch 2000; Hibbett et al. 2007; Schoch et al. 2009; Lumbsch and Huhndorf 2010) and other diverse clades, such as Sordariomyceta (including Leotiomyces and Sordariomyces), also lack lichen-forming species (Lumbsch and Huhndorf 2007). Lichen-forming ascomycetes can be found in the classes Arthoniomycetes, Coniocybomycetes (Prieto et al. 2013), Dothideomycetes, Eurotiomycetes, Lichinomycetes, and, especially, Lecanoromycetes (Hibbett et al. 2007; Schoch et al. 2009; Lumbsch and Huhndorf 2010). The latter is the second species-rich class after Dothideomycetes, with approximately 15,000 species (of the roughly 18,500 lichenized Ascomycota currently accepted [Feuerer and Hawksworth 2007]), and the vast majority of the species are lichen-forming. Only few species in this class either have a facultatively lichenized lifestyle (Wedin, Döring, and Gilenstam 2004) or are lichenicolous fungi derived from lichenized ancestors (Divakar et al. 2015).

Photosynthetic partners in the lichen symbiosis include cyanobacteria and/or algae (Friedl 1995; Friedl and Bhattacharya 2002; Rikkinen 2002; Rikkinen 2013). The majority of algae in lichen

symbioses belongs to green algae (Chlorophyte), but also heterokont (Stramenopiles) algae, such as brown or yellow-green algae, are known to form associations with fungi. In addition to fungal and photosynthetic partners, bacteria and additional fungi (endolichenic and lichenicolous) are regularly found in the lichen symbiosis (Lawrey and Diederich 2003; Cardinale et al. 2008; Arnold et al. 2009; Hodkinson and Lutzoni 2009; Hodkinson et al. 2012; Erlacher et al. 2015). In many cases, their role is not well understood, but their presence is far from random and rather shows a clear pattern not only regarding phylogenetic relationships but also at an ecological scale (Hodkinson et al. 2012; U'Ren et al. 2012).

Lichen-forming species are a diverse group of fungi, with almost 20% of currently known fungal species participating in lichen associations, and they occur in all terrestrial ecosystems, from Polar Regions to the tropics. Although they are more prominent in arctic-alpine vegetation types, the diversity in the tropics, especially in wet montane forests, is actually higher (Sipman and Harris 1989; Lücking et al. 2009b). Lichens are able to grow on a wide variety of terrestrial substrates, including rocks, soil, wood, bark, and also living leaves of plants. A few species occur in the intertidal zones of coastal habitats or are submerged in mountain streams. Unlike most other fungi, lichens form extensive vegetative structures (thalli), which house the photosynthetic partners. The thalli can have different forms, including crustose, foliose, and fruticose growth forms (Figure 1). The latter resemble small shrubs; foliose lichens are distinctly flattened; and crustose species grow as a crust over or within their substrate. When isolated, lichen-forming fungi (mycobionts) do not generally form these specialized structures but grow as mold-like colonies comparable to those of many other ascomycetes. The typical growth form of each lichen-forming fungus is usually species-specific, with the exception of some species that associate with both green algae and cyanobacteria and then can, in some cases, form different types of thalli with the two contrasting photobionts, such as the fruticose cyanomorphs and foliose chloromorphs of some *Sticta* species (James and Henssen 1976; Armaleo and Clerc 1991; Magain, Goffinet, and Serusiaux 2012). The conspicuous thallus structures of lichens partly explain why for a long time their symbiotic nature was not understood but they were thought to represent a separate group of organisms. DeBary and Schwendener discovered in the 1860s (Honegger 2000) that lichens are actually symbiotic entities consisting of one fungal and one to several algal/cyanobacterial partners.

How often has the lichen lifestyle evolved in fungi? Although it is clear that lichen-forming Ascomycota and Basidiomycota originated independently, the question of lichenization within

Ascomycota is more difficult to answer. As already mentioned, lichen-forming species are not randomly distributed over the tree of the phylum but are concentrated in the derived Leotiomyceta. While some analyses suggested a single origin of lichenization—or at least could not rule it out (Lutzoni, Pagel, and Reeb 2001)—other analyses suggested multiple such events within ascomycetes (Gargas et al. 1995; Schoch et al. 2009). In this connection, some recent experiments demonstrating latent capacity for mutualism in both fungi and algae are of special interest. (Hom and Murray 2014) performed an experiment in which obligate mutualism between the nonsymbiotic model organisms *Saccharomyces cerevisiae* (ascomycetous yeast) and *Chlamydomonas reinhardtii* (green alga) was induced in an environment requiring reciprocal carbon and nitrogen exchange. Further, this capacity for mutualism was shown to be phylogenetically broad, as it was also exhibited by other species of algae and yeasts. The experiments demonstrated that under specific conditions, environmental change induced free-living species to become mutualists. This evidence is especially interesting in the context of the previously described diversity of symbiotic relationships of fungi with algae and/or cyanobacteria (parasitismmutualism and obligate or facultative mutualism) and in the context of the fact that the nature of symbiotic relationships in fungi has changed over evolutionary times (shifts between different nutritional modes, origin of lichenicolous fungi or saprobionts from lichenized ancestors, and so on). Hence, the question whether lichenization happened once or several times independently in Ascomycota may inherently require an unjustified oversimplification of biological complexity, since the plasticity of symbiotic relationships cannot really be expressed in coding schemes required for character reconstruction analyses.

## 2 MOLECULAR EVIDENCE

Traditionally, lichens were thought to represent an ancient group within fungi or at least within the crown group of fungi (Church 1921; Smith 1921), an idea that has been since resurrected in the “protolichenes hypothesis” (Eriksson 2005; Grube and Hawksworth 2007; Lipnicki 2015). However, lineages of Ascomycota that include lichenforming species originated sometime between the Devonian and the early Carboniferous (Lücking et al. 2009a; Gueidan et al. 2011; Prieto and Wedin 2013; Beimforde et al. 2014). Beimforde et. al. (2013) estimated the crown age of all ascomycete classes that chiefly consist of lichenized forms at or after the Carboniferous:

Arthoniomycetes in the Permian, Lecanoromycetes in the Permian or Carboniferous, and the split of Coniocybomycetes and Lichinomycetes in the Triassic or Permian. The crown ages for Dothideomycetes and Eurotiomycetes that have a smaller percentage of lichenized species were estimated as being in the Carboniferous or Permian. This indicates that lichens—at least those related to extant lichen-forming fungi—have originated during the Carboniferous and suggests that the lichen’s lifestyle has evolved relatively recently in the fungal tree of life, which dates back to the Proterozoic (Lücking et al. 2009a). This means that when the first lichen-forming fungi evolved, land plants such as several bryophyte and pteridophyte groups and progymnosperms already existed. Subsequently, waves of diversification during the Jurassic and Cretaceous created the diversity at higher phylogenetic levels within the lichen-containing clades (Amo de Paz et al. 2011; Prieto and Wedin 2013). Prieto and Wedin (2013) pointed out that the major diversification in Lecanoromycetes (especially the species-rich subclasses Lecanoromycetidae and Ostropomycetidae) coincides with the major diversification events in angiosperms. Angiosperms provided many new environments for epiphytic lichens. Interestingly, the two most species-rich families of lichen-forming fungi, Parmeliaceae and Graphidaceae (together almost 5000 spp.), contain a large percentage of species growing on angiosperm bark (Jaklitsch et al. 2015). While strict substrate specificity is relatively rare in lichens, numerous epiphytic species are more or less confined to a rather narrow range of substrates in terms of bark pH, water capacity, and hardness of the substrate (Brodo 1973; Spier, van Dobben, and van Dort 2010; Ellis 2012). Angiosperms have a higher diversity of these characters and hence may have contributed to the explosive diversification (Givnish 2015) of these two families. Graphidaceae originated during the Jurassic, whereas the family Parmeliaceae appears to be much younger and originated in the Cretaceous (Amo de Paz et al. 2011; Rivas Plata 2011; Kraichak et al. 2015). However, the relatively recent bursts in speciation contributed mainly to the current species diversity in both families. In Graphidaceae, the genus *Ocellularia*, which is unique in having sterile tissue within its hymenium, a potential key innovation (Kraichak, Luecking, and Lumbsch 2015), started to increase its diversification during the early Paleogene. In Parmeliaceae, the increase in speciation rates in the genera *Usnea* and *Xanthoparmelia* (however, the latter does not include epiphytic species) appears to have started in the Oligocene (Kraichak et al. 2015). The higher-level diversity subsequently gave rise to the current species diversity, which mostly originated between the Eocene and Pleistocene, primarily during the Neogene. The temperate to boreal genus *Biatra* is comparatively old and seems to have predominantly diversified during the Eocene and Oligocene

(Printzen and Lumbsch 2000). In contrast, much of the current species diversity in lichen-forming fungi may be much younger. The majority of studies so far have indicated major species diversification during the Neogene. The main diversification was estimated to have happened during the Miocene in the temperate to boreal genus *Melanelixia* (Leavitt et al. 2012b) and the chiefly Neotropical genus *Oropogon* (Leavitt, Esslinger, and Lumbsch 2012). The genera *Flavoparmelia* (Del-Prado et al. 2013), *Melanohalea* (Leavitt et al. 2012), *Montanelia* (Divakar et al. 2012), Macaronesian species of *Nephroma* (Sérusiaux et al. 2011), and the *Xanthoparmelia pulla* group (Amo de Paz et al. 2012) appear to have diversified during the Miocene and Pliocene.

In some lichen groups, such as the temperate to boreal genera *Letharia*, *Diploschistes*, and North American *Xanthoparmelia* species, the major diversification was estimated to have occurred in the even more recent past, during the Pleistocene (Rivas Plata 2011; Leavitt et al. 2013; Altermann et al. 2014). While improved methods of using relaxed molecular clocks have improved age estimates, and the estimates from recent studies seem to coalesce around similar times, these methods are dependent on using fossil evidence for calibration, and as discussed below, the fossil record for lichens is far from being complete or easy to interpret. In addition, it is known that branch lengths in a chronogram are not only influenced by the age of a taxon but also by other factors such as different substitution rates, which are often caused by differences in generation time (Lumbsch et al. 2008), switches of nutritional mode (Lutzoni and Pagel 1997), or frequency of founder effects in speciation processes (Wang et al. 2010). All these have been demonstrated to occur in fungi, and hence, we should keep in mind that an age estimate derived from molecular data should always be regarded only a hypothesis.

### 3 THE FOSSIL RECORD

The fossil record seems at odds with the molecular dating approaches, with fossils being interpreted as lichens such as *Thucomyces* (Hallbauer and van Warmelo 1974; Hallbauer, Jahns, and Beltman 1977) and lichen-like fossils (Yuan, Xiao, and Taylor 2005) from the Proterozoic, the genus *Farghera* from the Cambrian-Ordovician boundary (Retallack 2009), and thalloid impressions from the early Silurian (Tomescu and Rothwell 2006)—all of them existed well before the classes originated that contain extant lichens. In addition, the Paleozoic *Prototaxites* (Taylor

and Osborn 1996; Selosse 2002; Boyce et.al. 2007; Edwards, Axe, and Honegger 2013; Retallack and Landing 2014) has been repeatedly suggested to represent a lichen-like organism.

The reasons for this incongruence of molecular and fossil evidences are multifold. First, given the relatively unspecific morphology of lichens, identifying a structure in the fossil record as a lichen is difficult and virtually impossible if both the fungal and algal partners are not present and, in addition, a thallus is formed (Taylor, Krings, and Taylor 2015). Second, the relationships of fungi and algae can vary a lot, as discussed above, and hence, the presence of fungal hyphae in close proximity of algae or cyanobacteria does not necessarily mean that this relationship was lichen-like but could also represent other types of relationships such as algicolous fungi, which are found in numerous different groups of ascomycetes. Third, even if some of the early fossils represent mutualistic relationships of fungi and algae or cyanobacteria, this does not mean that those fungi were related to extant lichenized fungi. It is logical to assume that fungi suffered mass extinctions similar to other organismal groups, but we lack the fossil evidence mainly because of the simplicity and often highly ephemeral nature of structures in these organisms. For example, within Ascomycota, the early diverging subclass Taphrinomycotina consists of only about 100 species in 5 classes with vastly different morphology and ecology (Jaklitsch et.al. 2015): Archaeorhizomycetes, which are sterile hyphae in soil; Neolectales, which are terrestrial fungi morphologically resembling Leotiales; parasites in the lungs of vertebrates that are placed in Pneumocystidomycetes; fission yeasts in Schizosaccharomycetes; and plant parasites in Taphrinomycetes. It appears that these current species are likely remnants of an originally much larger group. Hence, it cannot be ruled out that many early lichen-like associations were formed by fungi that have since become extinct.

In addition, some of the fossil evidence is incomplete and therefore difficult to interpret. For example, in *Thucomyces*, no photobiont could be found, and the structures have also been interpreted as abiotic pseudofossils or filaments of bacteria, making the report at least doubtful. The 400 Mya lichen-like fossils from the Proterozoic show a close contact of fungal hyphae and cyanobacterial cells (Yuan, Xiao, and Taylor 2005), but the exact nature of the association is unclear, since modern fungal hyphae regularly occur in cyanobacterial biofilms on soil or rocks and the fossil could also represent an algicolous fungus. In addition, the phylogenetic placement of the fungal partner in this fossil remains unclear. In the case of the genus *Farghera* (Retallack 2009), and the thallus-like impressions from the early Silurian (Tomescu and Rothwell 2006), the evidence is incomplete, since, in both cases, the presumed photobiont has not been documented and the



structures have also been interpreted differently by other authors (Taylor, Krings, and Taylor 2015). Currently, there is no unambiguous evidence for the presence of lichen symbioses in the fossil record before the Devonian.

Devonian fossils that were interpreted as lichens include the genus *Winfrenatia* (Taylor, Hass, and Kerp 1997; Karatygin, Snigirevskaya, and Vikulin 2009). However, the thallus structure of this fossil is not very well defined and does not resemble that of extant lichens. Further, different types of cyanobacteria were found, and an alternative interpretation could be that the fossilized structure represents a biofilm with cyanobacterial cells and fungal hyphae. In any case the hyphae do not appear to belong to an ascomycete, since they do not show septa. In addition, the Devonian fossils *Flabellitha* (Jurina and Krassilov 2002) and *Spongiophyton* (Taylor et.al. 2004) are difficult to interpret, since the photobiont presence remains uncertain and the fungal structures do not closely resemble those of extant lichens.

The three oldest fossils that morphologically agree with extant lichens are *Cyanolichenomycites devonicus* and *Chlorolichenomycites salopensis* from the Devonian (Honegger, Edwards, and Axe 2013) and *Honeggeriella* from the lower Cretaceous (Matsunaga, Stockey, and Tomescu 2013). *Cyanolichenomycites* is a sterile, dorsiventral thallus, apparently formed by an ascomycete and a nostocoid photobiont, whereas *Chlorolichenomycites*, albeit similar in structure, is formed by an ascomycete, with a photobiont that appears to be a eukaryotic alga. Both species have a stratified thallus similar to those found in extant foliose lichens. Based on the septate hyphae, they were tentatively interpreted as belonging to Pezizomycotina. These fossils were so well preserved that in *Chlorolichenomycites*, even endolichenic bacteria and fungi were identified (Honegger, Axe, and Edwards 2013). These two fossils are estimated 415 Myr. Given their age, they either could represent a clade of lichenized Pezizomycotina that became extinct or might be seen as support for the hypothesis that lichenization evolved well before the split of the major extant classes with lichenized species and that some of the crown ascomycetes would thus be derived from lichenized ancestors (Kranner and Lutzoni 1999; Lutzoni, Pagel, and Reeb 2001). Unfortunately, the next oldest fossil that has so far been confidently identified as lichen, that is, *Honeggeriella*, is more than 300 Myr younger. While it is not yet possible to trace the early evolution of lichenized ascomycetes from the fossil record, *Honeggeriella* lived during the Cretaceous, when all major higher-level clades of lichenized fungi already existed (Beimforde et al. 2014). Thus, it fills an important gap between the Devonian fossils and the much younger amber fossils. *Honeggeriella* is a stratified foliose or squamulose

lichenized ascomycete, with an alga as photobiont, and anatomical studies could show the mycobiont-photobiont interfaces characterized by intracellular haustoria. However, once again, its exact affinities to extant lichens cannot be determined, since it only represents a vegetative thallus, and similar thallus anatomies have independently evolved in unrelated groups of ascomycetes.

Fossils preserved in Cenozoic amber have shown that several lineages of lichen-forming fungi have conserved their morphological adaptations (Figure 2), which indicates that numerous genera have remained phenotypically stable over the last million years—this includes *Anzia*, *Calicium*, and *Chaenotheca* in Baltic amber (Rikkinen and Poinar 2002; Rikkinen 2003; Beimforde et al. 2014), estimated approximately 40 Myr (Poinar 1992; Standke 1998); *Phyllopsora* and parmelioid lichens in Dominican amber (Poinar, Peterson, and Platt 2000; Rikkinen and Poinar 2008), estimated to be between 15 and 20 Myr (Schlee 1990; Iturralde-Vincent and MacPhee 1996); and also an alectorioid or oropogonoid lichen in Bitterfeld amber (Kaasalainen et al. 2015), which is at least 23.8 Myr old. Hence, while even well-preserved amber fossils can be very difficult to place (Hartl et al. 2015; Kettunen et al. 2015), the interpretation of others can be made, with some confidence, to generic level or at least groups of genera. These fossils fall within the estimated dates for diversification of those genera using molecular markers.

However, morphological similarity with extant lichens does not rule out misinterpretations. Recently, it was shown that the Baltic amber fossil *Alectoria succini* (Mägdefrau 1957), which has been used as a calibration point in molecular clock analyses (Amo de Paz et al. 2011; Prieto and Wedin 2013), is in fact not a lichen but probably root material (Kaasalainen et al. 2015). This reminds us that great care should be taken when selecting fossils, since the use of age constraints has significant effects on divergence time estimates (Taylor and Berbee 2006).

## 4 CONCLUSIONS

Thanks to recent spectacular discoveries of well-preserved fossils from the Devonian and Cretaceous and a series of discoveries of amber fossils, in tandem with improved molecular clock analyses and larger taxon sampling in molecular studies, our knowledge of the evolution of lichens improved dramatically over the last decades. The earliest fossils that can be unambiguously identified as lichens and the results from molecular clock approaches indicate that extant lichens

may have originated during the Devonian. On the other hand, there is also a growing body of evidence that many extant lichens are not ancient but have evolved relatively recently in the fungal tree of life. In any case, there are still many uncertainties and especially the early fossils should be interpreted in a holistic framework that keeps in mind the extant diversity of symbiotic associations between fungi and phototrophic organisms. Both intensive search for fossils that bridge the large gaps between the known lichen fossils and new molecular phylogenies that include more lichenized taxa of uncertain phylogenetic placement, such as the enigmatic Aphanopsidaceae, Thelocarpaceae, and Vezdaeaceae (Reeb, Lutzoni, and Roux 2004; Lumbsch, Zimmermann, and Schmitt 2009; Printzen et.al. 2012; Flakus and Kukwa 2014) or the basically unknown Moriolaceae (Hedlund 1895; Keissler 1934), will be necessary to further elucidate the evolution of these symbiotic organisms.

## ACKNOWLEDGMENTS

We wish to thank our colleagues Ana Crespo (Madrid), Pradeep Divakar (Madrid), Steven Leavitt (Chicago), and Alexander R. Schmidt (Göttingen) for their collaboration and fruitful discussions on this topic over the last years.

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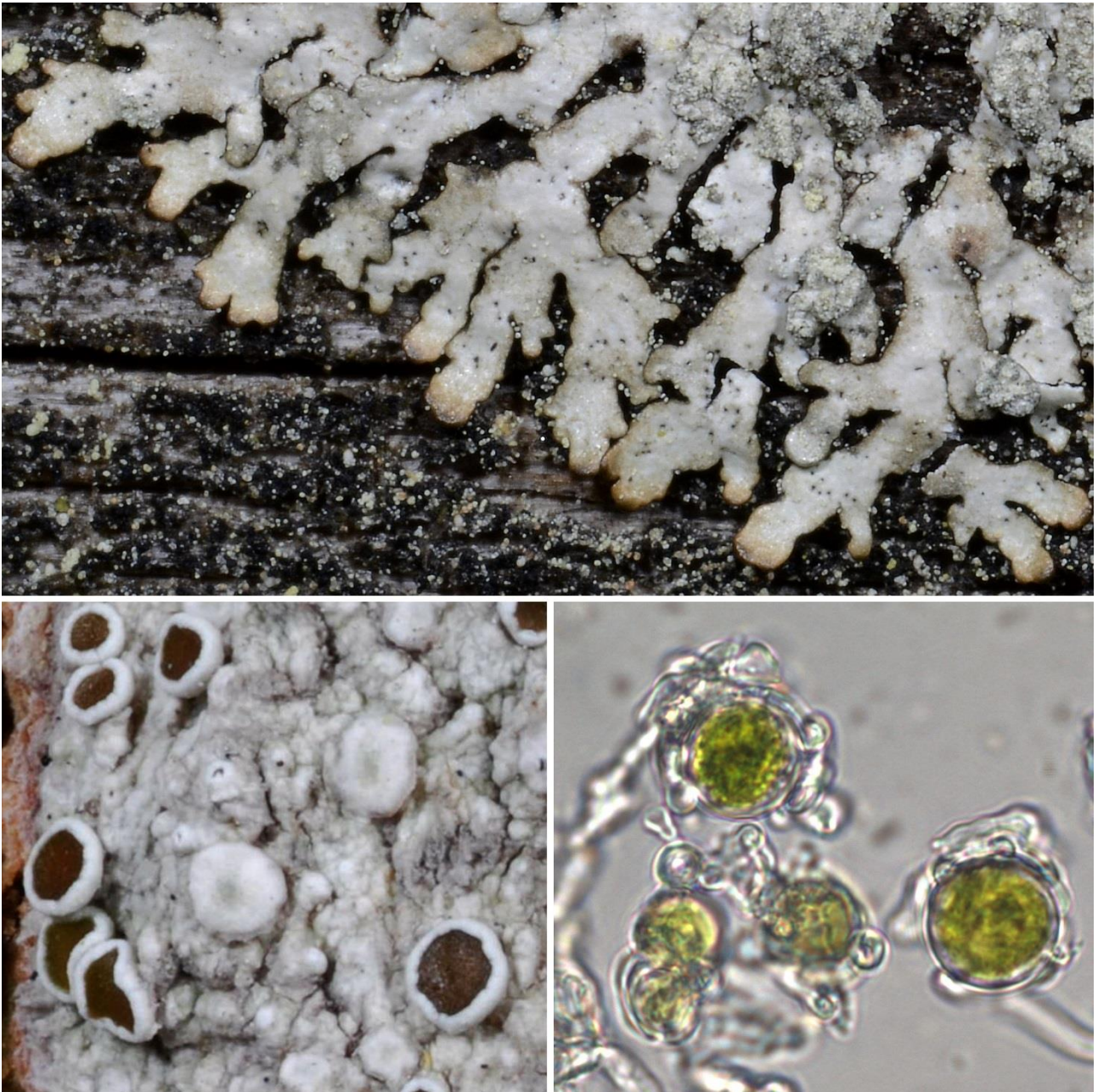
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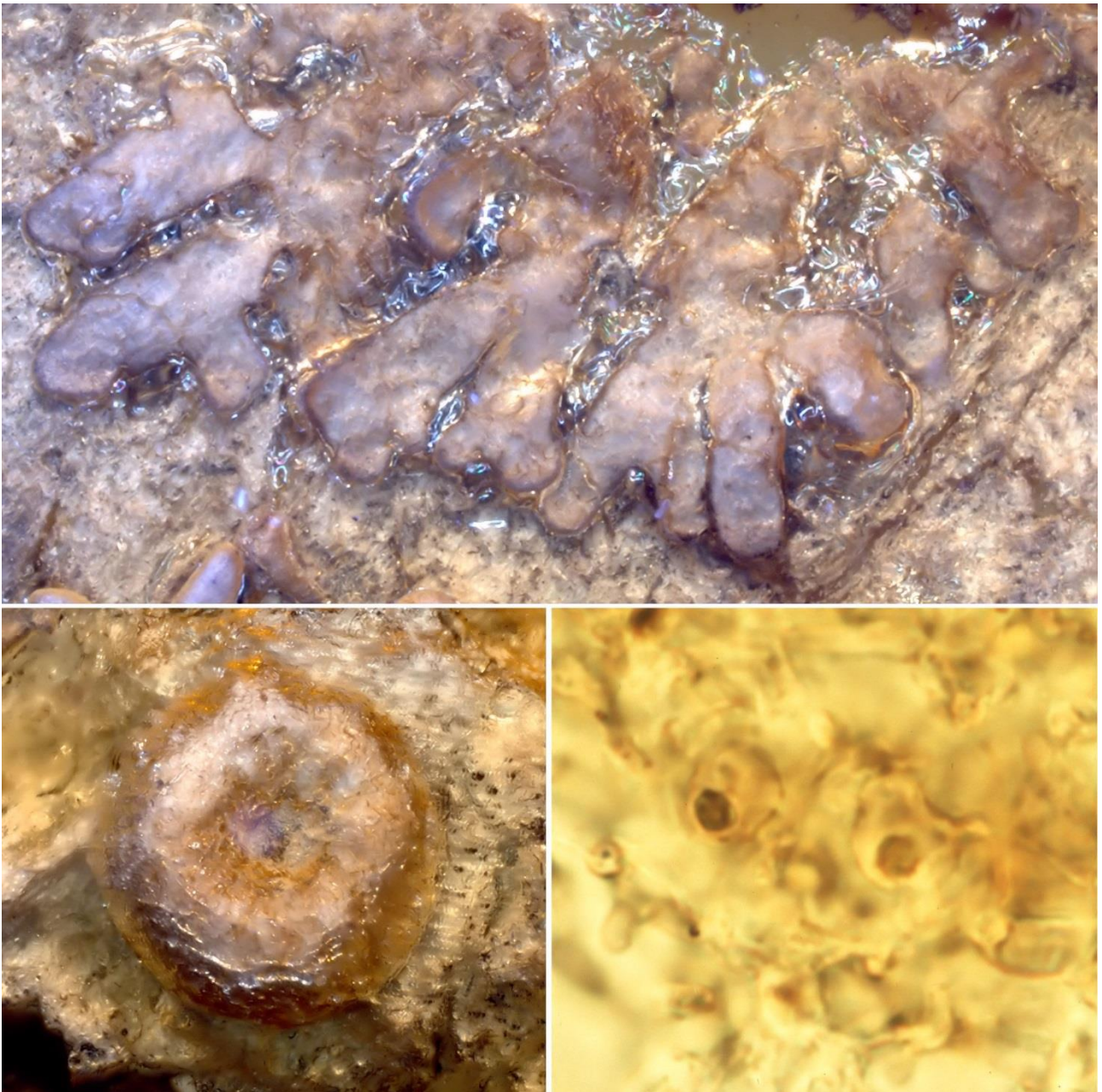
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## FIGURES



**Figure 1** Examples of extant lichens. (a) Closely appressed foliose lichen (*Parmeliopsis hyperopta*, Lecanorales). (b) Apothecia of crustose epiphytic lichen (*Lecanora argentata*, Lecanorales). (c) Green algal photobionts of epiphytic lichen (*Parmelia sulcata*, Lecanorales).





**Figure 2** Examples of fossil lichens. (a) Closely appressed foliose lichen preserved in Bitterfeld amber. (b).Apothecium of crustose epiphytic lichen preserved in Bitterfeld amber. (c) Green algal photobionts of foliose epiphytic lichen (*Phyllopsora dominicanus*) preserved *in situ* in Dominican amber.